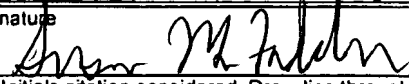


Substitute Form PTO-1449 (Modified) <b>DEC 15 2005</b> (37 CFR §1.62(b)) PATENT & TRADEMARK OFFICE	U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. <b>03.B.003</b>	Application No. <b>10/692,462</b>
	<b>Information Disclosure Statement</b> <b>by Applicant</b> (Use several sheets if necessary)		Applicant <b>Kittrell et al.</b>	
			Filing Date <b>October 23, 2003</b>	Group Art Unit <b>2644 2626</b>

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
DM	AA	3,879,751	4/22/1975	Gimelli			
DM	AB	4,914,586	4/3/1990	Swinehart et al.			
DM	AC	4,949,379	8/14/1990	Cordell			
DM	AD	5,005,200	4/2/1991	Fischer			
DM	AE	5,091,975	2/25/1992	Berger et al.			
DM	AF	5,126,543	6/30/1992	Bergeron et al.			
DM	AG	5,247,497	9/21/1993	Cohn			
DM	AH	5,436,972	7/25/1995	Fischer			
DM	AI	5,544,255	8/6/1996	Smithies et al.			
DM	AJ	5,577,120	11/19/1996	Penzias			
DM	AK	5,647,017	7/8/1997	Smithies et al.			
DM	AL	5,818,955	10/6/1998	Smithies et al.			
DM	AM	6,091,835	7/18/2000	Smithies et al.			
DM	AN	6,185,316	2/6/2001	Buffam			
DM	AO	US20020031209	3/14/2002	Smithies et al.			

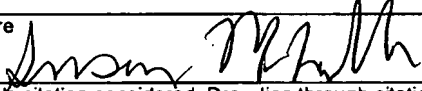
Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
dm	AP	9161494	6/20/97	Japan				

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
DM	AQ	UNCITRAL Model Law on Electronic Signatures with Guide to Enactment 2001; United Nations Publication Sales No. E.02.V.8, ISBN 92-1-133653-8, 74 pages. 2001.
DM	AR	Lisa Broderick et al., "JOHN HANCOCK REINVENTED: Using Keys and Other Handy Things As Electronic Signatures", PenOp, Inc. 1998, pp. 1-8.
DM	AS	Benjamin Wright, "EGGS IN BASKETS: Distributing the Risks of Electronic Signatures", <a href="http://efa.org/digsig/penop03.txt">http://efa.org/digsig/penop03.txt</a> , June 22, 1995, pp. 1-10.
DM	AT	Benjamin Wright, "THE LAW OF DIGITAL SIGNATURES", July 2002, pp. 1-8.
DM	AU	ILLINOIS ELECTRONIC COMMERCE SECURITY ACT With Comments - FINAL VERSION, <a href="file:///D:/ecommerce/legis/ill-esca.html">file:///D:/ecommerce/legis/ill-esca.html</a> , 1998, pages 1-49.

Examiner Signature 	Date Considered <b>6-19-87</b>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 03.B.003	Application No. 10/692,462
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Kittrell et al.	
		Filing Date October 23, 2003	Group Art Unit 2644

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
DM	AV	Department of Health and Human Services, Food and Drug Administration; 21 CFR Part 11, March 20, 1997; pp. 13429-13466.
DM	AW	Preliminary Specifications for Electronic Mortgage Loan Documentation; June 2001, Freddie Mac. pp. 1-52.
DM	AX	One Hundred Sixth Congress of the United States of America, Second Session, 01/24/2000, pp. S.761-1 – S.761-13.
DM	AY	Patricia B. Fry, Drafting Committee Memorandum for April UETA Meeting; 2 pages.
DM	AZ	Office of Management and Budget, Implementation of the Government Paperwork Elimination Act; <a href="http://www.whitehouse.gov/omb/fedreg/print/gpea2.html">http://www.whitehouse.gov/omb/fedreg/print/gpea2.html</a> . May 2, 2000.
DM	AAA	Web VoiceID.com; <a href="http://tompritchard.com/voiceid/welcome.html">http://tompritchard.com/voiceid/welcome.html</a> , Copyright 2000-2002, pages 1-3.
DM	BA	"Records Management Guidance for Agencies Implementing Electronic Signature Technologies", National Archives and Records Administration, Oct. 18, 2000; pp. 1-18.
DM	BB	Benjamin Wright, Esq., "The Legality of the PenOp® Signature", PenOp Resource Center, Second Edition, 1994, pp. 1-24.
DM	BC	Kathy Lyons-Burke, "Federal Agency Use of Public Key Technology for Digital Signatures and Authentication", NIST Special Publication 800-25; pp. 1-30. October 2000.
DM	BD	Benjamin Wright, supplement to "The Law of Electronic Commerce", Little, Brown and Company 1991, 1994 supplement pp. 43-45.
DM	BE	Benjamin Wright, "CEREMONY™ IS A TIMELY TOOL FOR SATISFYING E-COMMERCE LAWS", PenOp Inc, 2000; 3 pages.
DM	BF	Selwood Research, Federal Trade Commission, "E-Sign Study – Comment P004102, pp. 1-4. March 16, 2001.
DM	BG	Misner, Robert L. "Tape Recordings, Business Transactions Via Telephone, and the Statute of Frauds," Iowa Law Review, Vol. 61, pp. 941-964, 1976.
DM	BH	Congressional Record – Senate, S5284, June 16, 2000.
DM	BI	Ellis Canning Company v. Arthur J. Bernstein. 348 F. Supp. 1212 (D. Colo. 1972).
DM	BJ	"Seal-It." J&R Software. <a href="http://www.j-r-software.com">http://www.j-r-software.com</a> . April 4, 2002.
DM	BK	Allen v. Wachtendorf, 962 S.W.2d 279 (Tex.Appl. Corpus Christi 1998)

Examiner Signature 	Date Considered 6-19-07
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 03.B.003	Application No. 10/692,462
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Kittrell et al.	
		Filing Date October 23, 2003	Group Art Unit 2644

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
DM	ABB	US-2003/0154172	08-2003	Guyan et al.	705	80	
DM	ACC	US-6,389,402	05-2002	Ginter et al.	705	51	
DM	ADD	US-6,381,344	04-2002	Smithies et al.	382	115	
DM	AEE	US-6,209,095	03-2001	Anderson et al.	713	176	
DM	AFF	US-6,199,049	03-2001	Conde et al.	705	24	
DM	AGG	US-6,055,552	04-2000	Curry, Bo U.	715	530	
DM	AHH	US-5,832,464	11-1998	Houvener et al.	705	45	
DM	AII	US-4,991,205	02-1991	Lemelson, Jerome H	713	186	
DM	AJJ	US-2003/0093679	05-2003	Hawkins et al.	713	181	
DM	AKK	US-2003/0033241	02-2003	Haradi, Adi	705	38	
DM	ALL	US-2003/0095601	07-2002	Hind et al.	713	201	
DM	AMM	US-6,802,041	10-2004	Rehm, Peter H	715	500.1	
DM	ANN	US-6,289,304	09-2001	Grefenstette	704	9	
DM	AOO	US-2002/0118220	08-2002	Lui et al.	345	709	
DM	APP	US-2002/0188497	12-2002	Cerwin	705	10	
DM	AQQ	US-5,758,323	05-1998	Case	704	9	

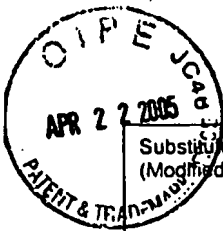
Foreign Patent Documents or Published Foreign Patent Applications							
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes No
	ARR						

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
DM	ASS	Balacheff, Boris, et al., "A Trusted Process to Digitally Sign a Document", NSPW '01, Cloudcroft, NM, Sep. 10-13, 2001, pp. 79-86 (plus 3 pages of citation: p. 1 from ACM and pp.2-3 from LOC) [ACM 1-58113-457-6/01/0009].
DM	ATT	Steinauer, Dennis D., et al., "Trust and Traceability in Electronic Commerce", StandardView, Vol. 5, No. 3., Sept. 1997, pp. 118-124.
DM	AUU	Molnar, David, "Signing Electronic Contracts", Crossroads, Vol. 7, Issue 1, Sep. 2000, pp. 1-10 (plus citation page), downloaded from: <a href="http://www.acm.org/crossroads/xrds7-1/contract.html">www.acm.org/crossroads/xrds7-1/contract.html</a> .
Examiner Signature 		Date Considered 8-19-03
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.		

Substitute Form PTO-1449 (Modified)  <b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. <b>03.B.003</b>	Application No. <b>10/692,462</b>
	Applicant <b>Kittrell et al.</b>		
	Filing Date <b>October 23, 2003</b>	Group Art Unit <b>2644</b>	

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
<i>DM</i>	AVV	Gräther, Wolfgang, et al., "Enhancing Workflows by Web Technology", GROUP '97, Phoenix, AZ, 1997, pp. 271-280 [ACM 0-89791-897-5/97/11].
<i>DM</i>	AWW	Cole, James, et al, "Extending Support for Contracts in ebXML", Australian Computer Science Communications, Vol. 23, Issue 6, Jan. 2001, pp. 119-127 (plus citation page) [IEEE 0-7695-0960-6/01].
<i>DM</i>	AXX	Lemay Laura, "Teach Yourself Web Publishing with HTML 4 in 14 days," 2 <sup>nd</sup> Professional Reference Edition, Sams.net Publishing, Indianapolis, IN, © 1997, pp. 99-105, 248-257 and 265.
<i>DM</i>	AYY	Thimm, Heiko, "The Enhanced CSCW Teleservice for Wide Area Cooperative Authoring of Multimedia Documents", SIGOIS Bulletin, Vol. 15 No. 2, Dec. 1994, pp. 49-57.
<i>DM</i>	AZZ	Mukhopadhyay, Sugata, et al., "Passive Capture and Structuring of Lectures", ACM Multimedia '99, Orlando, FL, Oct. 1999, pp. 477-487 [ACM 1-58113-151-8/99/0010].
<i>DM</i>	AAAA	Ströbel, Michael, "Communication Design for Electronic Negotiations on the Basis of XML Schema," WWW 10, Hong Kong, May 1-5, 2001, pp. 9-20 [ACM 1-58113-348-0/01/0005].
<i>DM</i>	ABBB	Asokan, N., et al., "Optimistic Protocols for Fair Exchange", Fourth ACM Conference on Computer and Communications Security, Zurich, Switzerland, © 1997, pp. 7-17 (plus citation page) [ISBN 0-89791-912-2].

Examiner Signature <i>[Signature]</i>	Date Considered <i>6-19-07</i>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



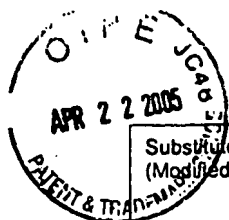
Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 14289-002001	Application No. 10/214,444
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))		Applicant Kittrell et al.	
		Filing Date August 8, 2002	Group Art Unit 2645

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
AN	AA	3,879,751	4/22/75	Gimelli			
AN	AB	4,914,586	4/3/90	Swinehart et al.			
AN	AC	4,949,379	8/14/90	Cordell			
AN	AD	5,005,200	4/2/91	Fischer			
DM	AE	5,091,975	2/25/92	Berger et al.			
DM	AF	5,126,543	6/30/92	Bergeron et al.			
DM	AG	5,247,497	9/21/93	Cohn			
DM	AH	5,436,972	7/25/95	Fischer			
DM	AI	5,544,255	8/6/96	Smithies et al.			
DM	AJ	5,577,120	11/19/96	Penzias			
DM	AK	5,647,017	7/8/97	Smithies et al.			
AN	AL	5,818,955	10/6/98	Smithies et al.			
DM	AM	6,091,835	7/18/00	Smithies et al.			
AN	AN	6,185,316	2/6/01	Buffam			

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
DM	AO	9161494	6/20/97	Japan				

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
DM	AP	UNCITRAL Model Law on Electronic Signatures with Guide to Enactment 2001; United Nations Publication Sales No. E.02.V.8, ISBN 92-1-133653-8. 74 pages. 2001.
DM	AQ	Lisa Broderick et al., "JOHN HANCOCK REINVENTED: Using Keys and Other Handy Things As Electronic Signatures", PenOp, Inc. 1998, pp. 1-8.
DM	AR	Benjamin Wright, "EGGS IN BASKETS: Distributing the Risks of Electronic Signatures", <a href="http://efa.org/digsig/penop03.txt">http://efa.org/digsig/penop03.txt</a> , June 22, 1995, pp. 1-10.
DM	AS	Benjamin Wright, "THE LAW OF DIGITAL SIGNATURES", July 2002, pp. 1-8.
DM	AT	ILLINOIS ELECTRONIC COMMERCE SECURITY ACT With Comments - FINAL VERSION, <a href="file:///D:/ecommerce/legis/ill-esca.html">file:///D:/ecommerce/legis/ill-esca.html</a> , 1998, pages 1-49.

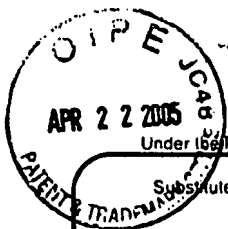
Examiner Signature <i>Sharon M. Fiedler</i>	Date Considered 6-19-07
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 14289-002001	Application No. 10/214,444
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))		Applicant Kittrell et al.	
		Filing Date August 8, 2002	Group Art Unit 2645

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
DM	AU	Department of Health and Human Services, Food and Drug Administration; 21 CFR Part 11, March 20, 1997: pp. 13429-13466.
DM	AV	Preliminary Specifications for Electronic Mortgage Loan Documentation; June 2001. Freddie Mac. pp. 1-52.
DM	AW	One Hundred Sixth Congress of the United States of America, Second Session, 01/24/2000, pp. S.761-1 - S.761-13.
DM	AX	Patricia B. Fry, Drafting Committee Memorandum for April UETA Meeting; 2 pages.
DM	AY	Office of Management and Budget, Implementation of the Government Paperwork Elimination Act; <a href="http://www.whitehouse.gov/omb/fedreg/print/gpea2.html">http://www.whitehouse.gov/omb/fedreg/print/gpea2.html</a> . May 2, 2000.
DM	AZ	Web VoiceID.com; <a href="http://tompritchard.com/voiceid/welcome.html">http://tompritchard.com/voiceid/welcome.html</a> , Copyright 2000-2002, pages 1-3.
DM	BA	"Records Management Guidance for Agencies Implementing Electronic Signature Technologies", National Archives and Records Administration, Oct. 18, 2000; pp. 1-18.
DM	BB	Benjamin Wright, Esq., "The Legality of the PenOp® Signature", PenOp Resource Center, Second Edition, 1994, pp. 1-24.
DM	BC	Kathy Lyons-Burke, "Federal Agency Use of Public Key Technology for Digital Signatures and Authentication", NIST Special Publication 800-25; pp. 1-30. October 2000.
DM	BD	Benjamin Wright, supplement to "The Law of Electronic Commerce", Little, Brown and Company 1991, 1994 supplement pp. 43-45.
DM	BE	Benjamin Wright, "CEREMONY™ IS A TIMELY TOOL FOR SATISFYING E-COMMERCE LAWS", PenOp Inc, 2000; 3 pages.
DM	BF	Selwood Research, Federal Trade Commission, "E-Sign Study - Comment P004102, pp. 1-4. March 16, 2001.
DM	BG	Misner, Robert L. "Tape Recordings, Business Transactions Via Telephone, and the Statute of Frauds," Iowa Law Review, Vol. 61, pp. 941-964, 1976.
DM	BH	Congressional Record - Senate, S5284, June 16, 2000.
DM	BI	Ellis Canning Company v. Arthur J. Bernstein. 348 F. Supp. 1212 (D. Colo. 1972).
DM	BJ	"Seal-It." J&R Software. <a href="http://www.j-r-software.com">http://www.j-r-software.com</a> . April 4, 2002.

Examiner Signature 	Date Considered 6-24-07
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



PTO/SB/08A (08-03)

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/214,444
Filing Date	August 8, 2002
First Named Inventor	Clayton KITTRELL
Art Unit	2645
Examiner Name	Simon P. Sing
Attorney Docket Number	04.B.001US

Sheet 1 of 2

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
PM		US- 20020031209	03-14-2002	SMITHIES et al.	
		US-			
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**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T*
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

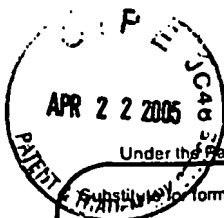
Examiner  
SignatureDate  
Considered

6-19-07

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/214,444
Filing Date	August 8, 2002
First Named Inventor	Clayton KITTRELL
Art Unit	2645
Examiner Name	Simon P. Sing
Attorney Docket Number	04.B.001US

Sheet 2 of 2

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
DM		Allen v. Wachtendorf, 962 S.W.2d 279 (Tex.App. Corpus Christi 1998)	

Examiner  
SignatureDate  
Considered

6-19-07

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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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